



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/996,462	11/28/2001	Desmond R. Lim	MIT9066	2424

7590 04/07/2003

Samuels, Gauthier & Stevens LLP  
Suite 3300  
225 Franklin Street  
Boston, MA 02110

EXAMINER

LIN, TINA M

ART UNIT PAPER NUMBER

2874

DATE MAILED: 04/07/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

Fig 9B  
Manolabou  
High density  
Optics

**Office Action Summary**Application No.  
09/996,462

LIM ET AL.

Examiner

Art Unit

Tina M Lin

2874

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-34 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-34 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 23 April 2002 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☒ The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. §§ 119 and 120**

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☒ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 2.
- 4) ☐ Interview Summary (PTO-413) Paper No(s) \_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

Art Unit: 2874

## DETAILED ACTION

### *Objections*

The oath or declaration is defective. A new oath or declaration in compliance with 37 CFR 1.67(a) identifying this application by application number and filing date is required. See MPEP §§ 602.01 and 602.02.

The oath or declaration is defective because: The title in the declaration, "Three Dimensional High Transmission Cavity Devices For Compact High Index Contrast Bends Splitters And Resonators" does not agree with the title throughout the application. Correction is required.

Claim 14 is objected to because of the following informalities: Notice that claim 14 is dependent on itself. However, the Examiner believes claim 14 to be dependent on claim 10. Therefore, for the purpose of examination, the Examiner will examine claim 14 as if it was dependant on claim 10. Appropriate correction is required.

### *Claim Rejections - 35 USC § 102*

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-6, 9-11, 18-22 and 29-32 are rejected under 35 U.S.C. 102(b) as being clearly anticipated by an article in Journal of Lightwave Technology, Volume 17 No. 9 titled High-Density Integrated Optics to Manolatos et al. In regards to claims 1-6, Manolatos et al. discloses an optical cavity with an input port and an output port that interconnects polySi waveguides with an interconnecting structure that is a five-sided polygon with straight edges that are orthogonal

Art Unit: 2874

and finite in width. Manolatau et al. additionally discloses the interconnecting structure to reflect the input signals at a 45 degree angle, to interconnect the first and second waveguides at 90 degrees and the fifth side of the polygon structure to be aligned at an angle of 135 degrees from both of its respective sides. In regards to claims 9-11 and 18-22, Manolatau et al. discloses an optical splitting device as a T-shaped or Y-shaped with an input port which received an input polySi wavelength that is split into at least two signals and directed to at least two output polySi waveguides. The splitting structure also includes at least two separate cavities connected to their sides where each cavity includes five straight edges that are orthogonal, however put together is a seven-sided polygon. Furthermore, Manolatau et al. discloses the seven sided polygon cavity to have two sides that are aligned at angles of 135 degrees and 270 degrees with their respective adjacent sides. In regards to claims 29-32, Manolatau et al. discloses an optical resonator with a plurality of straight polySi waveguides and a plurality of interconnecting elements, where the interconnecting elements are five-sided polygons that have orthogonal edges and a finite width. Additionally, Manolatau et al. discloses the fifth side of the polygon to be aligned at an angle 135 degrees from both of its respective sides.

### *Claim Rejections - 35 USC § 103*

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Art Unit: 2874

Claims 7, 12, 14-17, 23, 25-28 and 33 are rejected under 35 U.S.C. 103(a) as being unpatentable over an article in Journal of Lightwave Technology, Volume 17 No. 9 titled High-Density Integrated Optics to Manolatos et al. as applied to claims 1, 9 and 29 above, and further in view of an article in Optoelectron, Volume 143 No. 5 titled Development of a Library of Low-Loss silicon-on-insulator optoelectronic devices to Tang et al. Manolatos et al. discloses all discussed above, but Manolatos et al. fails to disclose the input and output waveguides to be SOI (silicon-on-insulator) waveguides having a silicon core, a cladding of silica and a top cladding layer of air. Manolatos et al. also fails to disclose the polySi waveguides disclosed to have a silicon core, a cladding layer of silica and a top layer cladding of air. However, Tang et al. does disclose SOI waveguide technology to be used in waveguides, couplers, junctions and modulators. SOI is just a different type of waveguide as the polySi disclosed by Manolatos et al. so, therefore, it would have been obvious at the time the invention was made to a person having ordinary skill in the art to have used either a polySi waveguide or a SOI waveguide in an optical cavity structure, optical resonator or an optical splitter. Additionally, it is disclosed by Tang et al. and also well known in the art that a commonly used waveguide core material is silicon, a commonly used waveguide cladding layer materials are air and silica. Therefore, it would have been obvious at the time the invention was made to a person having ordinary skill in the art to have used a waveguide having a silicon core, a cladding of silica and a top cladding layer of air.

Claims 8, 13, 24 and 34 are rejected under 35 U.S.C. 103(a) as being unpatentable over an article in Journal of Lightwave Technology, Volume 17 No. 9 titled High-Density Integrated Optics to Manolatos et al. as applied to claims 1, 9 and 29 above, and further in view of U.S. Patent 5,949,931 to Kitamura. Manolatos et al. discloses all discussed above, but Manolatos et

Art Unit: 2874

al. fails to mention an interconnecting structure being etched using anisotropic etching.

However, Kitamura discloses an optical coupler, also used to interconnect fibers, to be etched by method of anisotropic etching. Therefore, it would have been obvious at the time the invention was made to a person having ordinary skill in the art to have an interconnecting structure being etched using anisotropic etching.

The documents submitted by applicant in the Information Disclosure Statement have been considered and made of record. Note attached copy of form PTO-1449.

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. References B-D discuss other optical interconnecting devices.

This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Tina M Lin whose telephone number is (703) 305-1959. The examiner can normally be reached on Monday-Friday 8:30-5:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Rodney Bovernick can be reached on (703) 308-4819. The fax phone numbers for

Art Unit: 2874

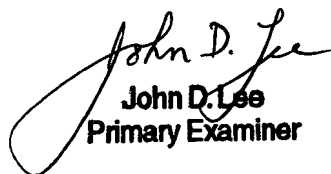
the organization where this application or proceeding is assigned are (703) 308-7722 for regular communications and (703) 308-7724 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-0956.

TML



April 3, 2003



**John D. Lee**  
Primary Examiner